

**Applicant or Patentee:** Phillip Dan Cook, Daniel Peter Claude McGee and Charles Guinossos

**Serial or Patent No.:** N/A **Attorney's Docket No.:** ISIS-0710

**Date Filed or Issued:** HEREWITH

**For:** NOVEL 2' O-ALKYL GUANOSINES

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(c) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

- ( ) the owner of the small business concern identified below:  
 an official empowered to act on behalf of the concern identified below:

**NAME OF CONCERN:** Isis Pharmaceuticals  
**ADDRESS OF CONCERN:** 2280 Faraday Avenue  
Carlsbad, CA 92008

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that: (1) the number of employees of the concern, including those of its affiliates, does not exceed 500 persons; and (2) the concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled NOVEL 2' O-ALKYL GUANOSINES by inventor(s) Phillip Dan Cook, Daniel Peter Claude McGee and Charles Guinossos described in

specification filed herewith.

( ) application serial no. \_\_\_\_\_, filed \_\_\_\_\_.

( ) patent no. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME:

ADDRESS:

( ) INDIVIDUAL ( ) SMALL BUSINESS CONCERN ( ) NONPROFIT ORGANIZATION

FULL NAME:

ADDRESS:

( ) INDIVIDUAL ( ) SMALL BUSINESS CONCERN ( ) NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING B. Lynne Parshall

TITLE OF PERSON SIGNING Vice President and General Counsel

ADDRESS OF PERSON SIGNING Isis Pharmaceuticals, Inc.

2280 Faraday Avenue, Carlsbad, CA 92008

B. Lynne Parshall  
SIGNATURE

Oct 26, 1992

DATE



NO.: ISIS-0710

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:

Cook et al.

Serial No.: N/A

Group No.: N/A

Filed: October 27, 1992

Examiner: N/A

For: Novel 2' O-Alkyl Guanosines

Commissioner of Patents & Trademarks  
Washington, DC 20231

Sir:

ASSOCIATE POWER OF ATTORNEY

The undersigned, **Rebecca R. Gaumond**, Registration No. **35,152**, of the firm WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS, One Liberty Place - 46th Floor, Philadelphia, Pennsylvania 19103, Attorney and/or Agent for Applicant(s), hereby appoints the following:

Robert B. Washburn  
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Registration No. 28,425  
Registration No. 27,200  
Registration No. 28,937  
Registration No. 28,734  
Registration No. 30,489  
Registration No. 28,598  
Registration No. 19,386  
Registration No. 29,916  
Registration No. 31,863  
Registration No. 33,712  
Registration No. 32,279  
Registration No. 32,906  
Registration No. 32,842  
Registration No. 33,307  
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Lori Y. Beardell	Registration No. <u>34,293</u>

her associates with full power to prosecute the above-identified application and to transact all business in the Patent Office connected therewith and requests that correspondence continue to be directed to the firm of WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS at the above address.

Date: October 27, 1992

*Rebecca R. Gaumond*  
Rebecca R. Gaumond  
Attorney of Record  
Registration No. 35,152

WOODCOCK WASHBURN KURTZ  
MACKIEWICZ & NORRIS  
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Philadelphia, PA 19103  
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**COMBINED DECLARATION AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name; and

I verily believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: NOVEL 2' O-ALKYL GUANOSINES the specification of which:

(xx) is attached hereto.

( ) was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_  
and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to be material to the patentability of this application in accordance with 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of any application on which priority is claimed:

Country	Number	Date Filed	Priority Claimed

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to be material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status (patented, pending)
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<u>918,362</u>	<u>July 23, 1992</u>	<u>pending</u>

\* 3D  
I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: John W. Caldwell and Rebecca R. Gaumond, Registration Nos. 28,937 and 35,152 of the firm of WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS, One Liberty Place - 46th Floor, Philadelphia, Pennsylvania 19103, and Herb Boswell, Registration No. 27,311, of ISIS Pharmaceuticals, 2280 Faraday Avenue, Carlsbad, California 92008.

Address all telephone calls and correspondence to:

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Philadelphia, PA 19103  
Telephone No. 215-568-3100.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the

United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1-00	Full Name <u>Phillip Dan Cook</u>	Inventor's Signature <u>Phillip Dan Cook</u>	Date <u>10/23/92</u>
1	Residence 7340 Bolero Street <u>Carlsbad, CA 92009</u>	Citizenship <u>CA</u>	US
	Post Office Address Same as above		
2-00	Full Name <u>Daniel Peter Claude McGee</u>	Inventor's Signature <u>Daniel Peter Claude McGee</u>	Date <u>23 Oct 1992</u>
2	Residence 295 Chinquapin Avenue <u>Carlsbad, CA 92008</u>	Citizenship <u>CA</u>	Canadian
	Post Office Address Same as above		
3-00	Full Name <u>Charles John Guinossos</u>	Inventor's Signature <u>Charles, John Guinossos</u>	Date <u>23 Oct 1992</u>
3	Residence 3399 Calle de Sur 313 Encinitas St. <u>Carlsbad, CA 92009</u>	Citizenship <u>Vista, CA 92083</u>	US
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4	Full Name	Inventor's Signature	Date
	Residence	Citizenship	
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5	Full Name	Inventor's Signature	Date
	Residence	Citizenship	
	Post Office Address		